

# 3 S. HOOVER 8/21/01  
THE COMMISSIONER IS AUTHORIZED  
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ACCOUNT NO. 23-0975

1c978 U.S. PTO  
09/910909  
07/24/01

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re application of :  
Shinichi SAEKI et al. :  
Serial No. NEW : **Attn: Application Branch**  
Filed July 24, 2001 : **Attorney Docket No. 2001\_1037**  
  
OPTICAL DISC, RECORDING APPARATUS,  
AND COMPUTER-READABLE  
RECORDING MEDIUM :  
(Rule 1.53(b) Divisional  
of Serial No. 09/671,107,  
Filed September 28, 2000)

**INFORMATION DISCLOSURE STATEMENT**

Assistant Commissioner for Patents,  
Washington, DC 20231

Sir:

Pursuant to the provisions of 37 CFR 1.56, 1.97 and 1.98, Applicants request consideration of ☒ the references listed on attached form PTO-1449 and/or ☐ the additional information identified below in paragraph 3. A legible copy of each reference listed on the form PTO-1449 and each U.S. patent application listed below is enclosed, except a copy is not provided for each reference previously cited by or submitted to the Patent Office in prior parent application Serial No. 09/671,107.

1a. ☒ This Information Disclosure Statement is submitted:

within three months of the filing date (or of entry into the National Stage) of the above-entitled application, or

before the mailing date of the first Office Action on the merits,

**and thus no certification and/or fee is required.**

- 1b. ☐ This Information Disclosure Statement is submitted

after the events of above paragraph 1a and prior to the mailing date of a final Office Action or a Notice of Allowance or an action which otherwise closes prosecution in the application, and thus:

- (1) ☐ the certification of paragraph 2 below is provided, **or**  
(2) ☐ the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.

- 1c. ☐ This Information Disclosure Statement is submitted:

after the mailing date of a final Office Action or Notice of Allowance or action which otherwise closes prosecution in the application, and prior to payment of the issue fee, and thus:

**the certification of paragraph 2 below is provided, and  
the fee of \$180.00 specified in 37 CFR 1.17(p) is enclosed.**

2. It is hereby certified

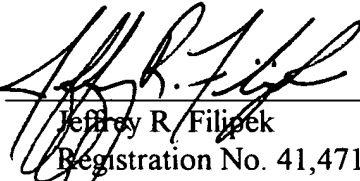
- a. ☐ that each item of information contained in this Information Disclosure Statement was first cited in any communication from a foreign patent office in a counterpart foreign application not more than three months prior to the filing of the Statement, or  
b. ☐ that no item of information contained in the Information Disclosure Statement was cited in a communication from a foreign patent office in a counterpart foreign application and, to the knowledge of the person signing the certification after making reasonable inquiry, was known to any individual designated in §1.56(c) more than three months prior to the filing of the Statement.

3. ☐ Consideration of the following list of additional information (including any copending or abandoned U.S. application, prior uses and/or sales, etc.) is requested.

4. For each non-English language reference listed on the attached form PTO-1449, reference is made to:
- a. ☐ a full or partial English language translation submitted herewith,
  - b. ☐ a foreign patent office search report (in the English language) submitted herewith,
  - c. ☐ the concise explanation contained in the specification of the present application at page ,
  - d. ☐ the concise explanation set forth in the attached English language abstract,
  - e. ☐ the concise explanation set forth below or on a separate sheet attached to the reference:
5. ☒ Two foreign patent office search reports citing one or more of the references are enclosed.

Respectfully submitted,

Shinichi SAEKI et al.

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July 24, 2001

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Sheet 1 of 1		FORM PTO 1449 (modified)		U.S. DEPARTMENT OF COMMERCE PATENT AND TRADEMARK OFFICE		LIST OF REFERENCES CITED BY APPLICANT(S) (Use several sheets if necessary)		Date Submitted to PTO: July 24, 2001		ATTY DOCKET NO. 2001_1037		SERIAL NO. NEW		APPLICANT Shinichi SAEKI et al.		FILING DATE July 24, 2001		GROUP	
U.S. PATENT DOCUMENTS										Jc979 U.S. PTO 09/910909 07/24/01									
*EXAMINER INITIAL	DOCUMENT NUMBER	DATE	NAME	CLASS	SUBCLASS	FILING DATE IF APPROPRIATE													
AA	5,642,338	06-24-97	Fukushima et al.																
AB	5,617,407	04-01-97	Bareis																
AC	4,777,537	10-11-88	Ueno et al.																
AD	5,552,896	09-03-96	Yoshida																
AE	6,078,727	6-20-00	Saeki et al.																
AF	6,185,365	2-6-01	Murase et al																
AG	6,167,189	12-26-00	Taira et al.																
FOREIGN PATENT DOCUMENTS																			
DOCUMENT NUMBER	DATE	COUNTRY	CLASS	SUBCLASS	TRANSLATION YES NO														
AH	0724264A2	07-31-96	Europe																
AI	0695098A2	01-31-96	Europe																
AJ	0752705A2	01-08-97	Europe																
AK	0729153A2	08-28-96	Europe																
AL	0797204A2	09-24-97	Europe																
AM																			
AN																			
AO																			
OTHER DOCUMENT(S) (Including Author, Title, Date, Pertinent Pages, Etc.)																			
AP																			
AQ																			
EXAMINER										DATE CONSIDERED									

\*EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609; Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant.